

NON-PROFIT
Docket No.: 19226/950 (R-5557)

Applicant or Patentee : Zhifeng Ren, Zhongping Huang, Jui H. Wang and Dehzi Wang
Serial or Patent No. : 09/336,126
Filed or Issued : June 18, 1999
For : **FREE-STANDING AND ALIGNED CARBON NANOTUBES
AND SYNTHESIS THEREOF**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF CONCERN : **The Research Foundation of State University of New York**
ADDRESS OF CONCERN : **Suite 200 UB Commons**
Amherst, New York 14228-2567
TYPE OF ORGANIZATION :

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE
(26 USC 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF
THE UNITED STATES OF AMERICA (NAME OF STATE)
(CITATION OF STATUTE)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE
SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED
STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER
STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED
IN THE UNITED STATES OF AMERICA (NAME OF STATE)
(CITATION OF STATUTE)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **FREE-STANDING AND ALIGNED CARBON NANOTUBES AND SYNTHESIS THEREOF** by inventor(s) **Zhifeng Ren, Zhongping Huang, Jui H. Wang, and Dezhong Wang** described in

- ☐ the specification filed herewith
☒ **U.S. Patent Application Serial No.: 09/336,126**
Filed: June 18, 1999
☐ U.S. Patent No.:
Issued:

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME :
ADDRESS :

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME :
ADDRESS :

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

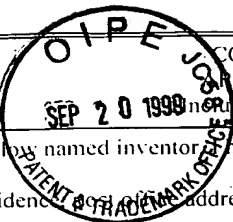
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING	:	Jerry L. McGuire
TITLE OF PERSON OTHER THAN OWNER	:	Director
ADDRESS OF PERSON SIGNING	:	Suite 200 UB Commons Amherst, New York 14228-2567

SIGNATURE: 

DATE: 8/5/99



COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
(includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER
19226/950 (R-5557)

#3

As a below named inventor, I hereby declare that:

My residence, address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

FREE-STANDING AND ALIGNED CARBON NANOTUBES AND SYNTHESIS THEREOF

the specification of which (check only one item below):

- ☐ is attached hereto.
- ☒ was filed as U.S. Patent Application Serial No. 09/336,126 on June 18, 1999 and was amended on _____ (if applicable).
- ☐ was filed as PCT International Application No. _____ on _____ and was amended under PCT Article 19 on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (IF PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
US	60/089,965	19 June 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
US	60/099,708	10 September 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112. I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS (Check One)			
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Continue)				ATTORNEY'S DOCKET NUMBER 19226/950 (R-5557)
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. Michael L. Goldman, Registration No. 30,727, Gunnar G. Leinberg, Registration No. 35,584; Dennis M. Connolly, Registration No. 40,964; Edwin V. Merkel, Registration No. 40,087, Jeffery B. Arnold, Registration No. 39,540, Georgia Caton, Registration No. P-44,597				
Send Correspondence to:			Michael L. Goldman, Esq. Nixon, Hargrave, Devans & Doyle LLP Clinton Square, P.O. Box 1051 Rochester, New York 14603	
			Direct telephone calls to: Michael L. Goldman (716) 263-1304	
2 0 1	FULL NAME OF INVENTOR	FAMILY NAME Ren	FIRST GIVEN NAME Zhifeng	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY East Amherst	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP Peoples Republic of China
	POST OFFICE ADDRESS	P.O. ADDRESS 56 Honeysuckle Way	CITY East Amherst	STATE & ZIP CODE/COUNTRY New York 14051/USA
2 0 2	FULL NAME OF INVENTOR	FAMILY NAME Huang	FIRST GIVEN NAME Zhongping	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Cheektowaga	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP Peoples Republic of China
	POST OFFICE ADDRESS	P.O. ADDRESS 114 Kenville Road	CITY Cheektowaga	STATE & ZIP CODE/COUNTRY New York 14228/USA
2 0 3	FULL NAME OF INVENTOR	FAMILY NAME Wang	FIRST GIVEN NAME Jui	SECOND GIVEN NAME H.
	RESIDENCE & CITIZENSHIP	CITY Amherst	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP United States
	POST OFFICE ADDRESS	P.O. ADDRESS 477 LeBrun Road	CITY Amherst	STATE & ZIP CODE/COUNTRY New York 14226/USA
2 0 4	FULL NAME OF INVENTOR	FAMILY NAME Wang	FIRST GIVEN NAME Dezhi	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Williamsville	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP Peoples Republic of China
	POST OFFICE ADDRESS	P.O. ADDRESS 1355 Millersport Highway #6	CITY Williamsville	STATE & ZIP CODE/COUNTRY New York 14221/USA
2 0 5	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
2 0 6	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201 <i>Zhibo Ren</i>	SIGNATURE OF INVENTOR 202 <i>Zhongping Huang</i>	SIGNATURE OF INVENTOR 203 <i>Jui H. Wang</i>
DATE <i>8/31/99</i>	DATE <i>09/09/1999</i> <i>WANG</i>	DATE <i>Sept. 10, 1999</i> <i>J. WANG</i>
SIGNATURE OF INVENTOR 204 <i>Derhi Wang</i>	SIGNATURE OF INVENTOR 205	SIGNATURE OF INVENTOR 206
DATE <i>09/09/99</i> <i>D. WANG</i>	DATE	DATE

Page 3 of 3